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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Williams, et al.

Serial No: 09/768,975

Filed: January 23, 2001

For: A DUAL STAGE, HEAD STACK ASSEMBLY
FOR A DISK DRIVE

Examiner: Blouin, Mark

Attorney Docket: Q01-1000-US1

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT BEFORE MAILING DATE OF EITHER FINAL ACTION OR NOTICE OF ALLOWANCE 37 CFR §1.97(C)

Assistant Commissioner for Patents
Washington, D. C. 20231

Sir:

Transmitted herewith is a Supplemental Information Disclosure Statement (form 1449A/PTO modified) along with the references and a return receipt postcard.

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

The Information Disclosure Statement transmitted herewith is being filed after three months of the filing date of this national application or the date of entry of the national stage as set forth in §1.491 in an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but before the mailing date of either:

- a. a Final Action under §1.113 or
- b. a Notice of Allowance under §1.311, whichever occurs first.

CERTIFICATE OR FEE

Accompanying this transmittal is

a certification as specified in 37 CFR 1.97(e)

OR

the fee set forth in 37 CFR 1.17(p) for submission of an information disclosure statement under §1.97(c). (\$180.00).

Dated this 20th day of December 2002.

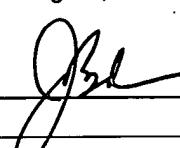
Respectfully submitted,



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CERTIFICATE OF MAILING UNDER 37 CFR §1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class, postage prepaid mail, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on this the 20th day of December 2002.



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Certification Under 37 C.F.R. §1.97(e)

The undersigned hereby certifies that the present **Supplemental** Information Disclosure Statement is being filed:

After the mailing date of the first Office Action but before a final rejection or notice of allowance [37 C.F.R. §1.97(c)].

After a Final Rejection or Notice of Allowance but before payment of the issue fee [37 C.F.R. §1.97 (d)].

The undersigned also certifies the following:

That each item of information contained in the **Supplemental** Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart for an application not more than three (3) months prior to the filing of the Statement.

OR

That no item of information contained in the **Supplemental** Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(d) more than three (3) months prior to the filing of the Statement.

Dated this the 20th day of December 2002.



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